

ATTORNEY DOCKET NUMBER 2003118-0001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Schwabacher, *et al.* Examiner:  
Serial No: 09/535,300 Art Unit: 1643  
Filing Date: March 24, 2000  
Title: ONE-DIMENSIONAL ARRAYS ON OPTICAL FIBERS

COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Sir:

**TRANSMITTAL LETTER**

Enclosed are the following documents:

1. Information Disclosure Statement (Form PTO-1449)
2. Statement Filed Pursuant to the Duty of Disclosure Under  
37 CFR §§1.56, 1.97 and 1.98
3. Cited Art
4. Return Post Card

Please charge any fees or credit any overpayments to our Deposit Account No. 03-1721.

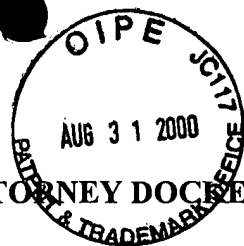
Respectfully submitted,

C. Hunter Baker, M.D., Ph.D.  
Reg. No.: P-46,533

CHOATE, HALL & STEWART  
Exchange Place  
53 State Street  
Boston, MA 02109  
(617) 248-5000  
Dated: Aug. 24, 2000

3161373\_1.DOC

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to: Assistant  
Commissioner For Patents, Washington, D.C. 20231  
on August 24, 2000  
Karen E. Heaps



#5  
S.B.  
9/7/00

ATTORNEY DOCKET NUMBER: 2003118-0001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Schwabacher *et al.* Examiner:  
Serial No.: 09/535,300 Art Unit: 1643  
Filing Date: March 24, 2000  
Title: ONE-DIMENSIONAL ARRAYS ON OPTICAL FIBERS

**RECEIVED**

SEP -5 2000

TECH CENTER 1600/2900

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Sir:

**STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE**  
**UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicant respectfully requests consideration of this Supplemental Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

(Select A, B or C below)

A. ☒ This Information Disclosure Statement has been filed:

(check 1, 2 and/or 3 below)

1. ☐ within three months of the filing date of the above identified U.S. Patent application;
2. ☐ within three months of the filing date of the entry of the National Stage, as set forth in 37 C.F.R. §1.491, in an International application; and/or
3. ☒ before the mailing date of the first Office Action on the merits in the above-identified application.

No fee or certification is required.

- B. ☐ This Information Disclosure Statement has been filed more than three months after the filing date of the present application and after the mailing date of this first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311.

(check 1 or 2 below)

1. ☐ The fee of \$240 as set forth in 37 C.F.R. §1.17(p) is enclosed; or  
2. ☐ Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that

(check a or b below)

- a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement; or  
b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.  
c. ☐ items indicated by an asterisk were identified in a recent review of related files.

- C. ☐ This Information Disclosure Statement has been filed after the mailing date of either a Final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311 and before payment of an Issue Fee.

(check 1, 2, and 3 below)

1. ☐ The Applicant hereby certifies, as specified in 37 C.F.R. §1.97(e), that:  
(check a or b below)  
a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent

Office in a counterpart for this application not more than three months prior to the filing of this Statement.

- b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.
2. ☐ A Petition requesting consideration of the Information Disclosure Statement is attached.
3. ☐ The Petition Fee of \$130 as set forth in 37 C.F.R. §1.17(i)(1) is enclosed.

PART II - Information Cited

- A. ☒ The Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.
- B. ☐ The Applicant hereby makes the following additional information of record in the above-identified application:

PART III: Explanation of Non-English Language References and Remarks Concerning Other Information Cited

- A. ☐ The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):
- B. ☐ The following are remarks concerning the other information cited:

PART IV: Remarks


- A.    ☒   Copies of references  
          (check 1 or 2 below)
1.    ☒   A copy of each of the references cited on the attached form PTO-1449  
          (modified) is enclosed;
  2.    ☐   Copies of certain of the references cited on the attached form PTO-1449  
          (modified) are not enclosed because each of these references (indicated by  
          asterisk) was previously cited by or submitted to the Office in a prior  
          application, which prior application is relied upon for an earlier filing date  
          under 35 U.S.C. § 120.
- B.    ☒   It is respectfully requested that:  
          (check 1, 2, and 3 below)
1.    ☒   The Examiner consider completely the cited information, along with any  
          other information, in reaching a determination concerning the patentability  
          of the present claims;
  2.    ☒   The enclosed form PTO-1449 be signed by the Examiner to evidence that  
          the cited patent(s) and publication(s) has (have) been fully considered by  
          the Patent and Trademark Office during the examination of this  
          application;
  3.    ☒   The citations for the patent(s) and publication(s) be printed on any patent  
          which issues from this application.
- C.    ☒   By submitting this Information Disclosure Statement, Applicants make no  
          representation that a search has been performed, of the extent of any search  
          performed, or that more material information may not exist.

- D. [X] By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).
- E. [X] By submitting this Information Disclosure Statement, Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.
- F. [X] Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

An early and favorable action is hereby requested.

Please charge any additional fees or credit any overpayments to our Deposit Account No. 03-1721.

Respectfully submitted,

  
C. Hunter Baker, M.D., Ph.D.  
Reg. No. P-46,533

CHOATE, HALL & STEWART  
Exchange Place  
53 State Street  
Boston, Massachusetts 02109  
(617) 248-5000  
Dated: August 24, 2000

3161362\_1.DOC

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231 on August 24, 2000  
Karen E. Gespo